



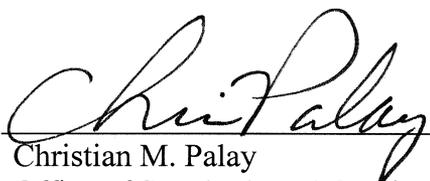
Office of Environmental Management

Administrative Procedure

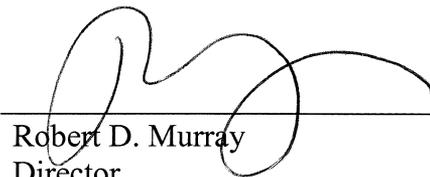
Document Review

AP-6.1Q, Revision 1

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11-20-12
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1.0 PURPOSE

This procedure describes the process and responsibilities for reviewing documents that relate to the oversight of High-Level Waste (HLW) or Used Nuclear Fuel (UNF) programs.

2.0 SCOPE

This procedure delineates the requirements for document review in accordance with revision 20 the *Quality Assurance Requirements and Description (QARD, DOE/RW-0333P)*.

3.0 APPLICABILITY

This procedure applies to Environmental Management (EM) personnel and contractors that are directly or indirectly involved in document review of Program Descriptions, Plans, Implementing Procedures, and Forms to conduct oversight of the HLW and UNF Oversight Program.

4.0 REQUIREMENTS and REFERENCES

4.1 Requirements

4.1.1 *Quality Assurance Requirements and Description (QARD), DOE/RW-0333P, Revision 20*

4.1.2 EM-QA-002, *Quality Assurance Program Plan (QAPP)*

4.2 References

4.2.1 AP-2.1Q, *Qualification of Personnel*

4.2.2 AP-5.1Q, *Implementing Documents*

4.2.3 AP-17.1Q, *Quality Assurance Records*

5.0 DEFINITIONS

N/A

6.0 GENERAL RESPONSIBILITIES

6.1 Review Requester

6.1.1 Responsible for selecting independent reviewers.

6.1.2 Responsible for resolving comments associated with document reviews.

6.2 Document Reviewer

6.2.1 Responsible for conducting and documenting reviews of documents.

6.4 EM Consolidated Business Center (CBC) Coordinator, Office of Technical Support and Asset Management

6.4.1. Responsible for configuration control of controlled documents.

6.4.2. Responsible for the maintenance/use, storage, protection, retrieval and final disposition of QA records.

7.0 GENERAL INFORMATION

This procedure prescribes process for reviewing documents. It establishes requirements for conducting various types of reviews, including independent technical, quality assurance, and management reviews, and documenting the resolution of comments using Form 6.1-1, *Document Review and Comment Record*. Comments resulting from the reviews shall be resolved to the satisfaction of the Review Requester.

8.0 PROCEDURE

8.1 Initiating Document Reviewer

8.1.1 The Review Requester shall select the individual(s) to be a Document Reviewer of document based the following criteria:

8.1.1.1 Implementing documents that specify technical or QA requirements or prescribe activities that are governed by the QARD, including changes thereto, shall be reviewed prior to approval and issuance for correctness, adequacy, completeness, accuracy, and compliance with established requirements.

8.1.1.2 The review shall be performed by individuals other than the preparer who are qualified as auditors per AP-2.1Q, *Qualification of Personnel*.

8.1.1.3 The Document Preparer of the document cannot be a reviewer of the document.

8.1.2 The Review Requester shall identify the selection of the Document Reviewer(s) and the other required information on the Form 6.1-1, *Document Review and Comment Record*.

8.2 Conducting the Review

- 8.2.1 The Review Requester shall provide the Document Reviewer an electronic or hard copy of the document to be reviewed and Form 6.1-1, *Document Review and Comment Record* with items 1-11 completed.
- 8.2.2 The Reviewer Requester shall provide additional background information or data to the reviewer as applicable or needed by the Document Reviewer.
- 8.2.3 The Document Reviewer documents their comments using Form 6.1-1, *Document Review and Comment Record* items 19-21. The Document Reviewer shall indicate their review complete by entering “Last Comment” in item 21 after their last review comment.
- 8.2.4 The Document Reviewer shall complete items 12-14 and submit the Form 6.1-1, *Document Review and Comment Record* to the Review Requester.

8.3 Comment Resolution

- 8.3.1 The Review Requester documents the responses to comments using Form 6.1-1, *Document Review and Comment Record* item 22.
- 8.3.2 The Review Requester completes items 15-16 and then provides the Document Reviewer with Form 6.1-1, *Document Review and Comment Record* containing the responses to the comments and a concurrence draft document that incorporates those responses to comments.
- 8.3.3 The Document Reviewer reviews the responses that address the comments and that the responses are adequately incorporated into the concurrence draft.
- 8.3.4 If acceptable, the Document Reviewer shall complete and sign Form 6.1-1, *Document Review and Comment Record* items 17-18 and return it and the concurrence draft of the document to the Review Requester.
- 8.3.5 The Review Requester transmits the completed package consisting of Form 6.1-1, *Document Review and Comment Record*, the review draft, and the concurrence draft of the reviewed document to the EMCBC Coordinator to be processed in accordance with AP-17.1Q, *Quality Assurance Records*. If the document is an implementing document, the EMCBC Coordinator shall also process the package in accordance with AP-5.1Q, *Implementing Documents*.

9.0 RECORDS MAINTENANCE

9.1 Nonpermanent QA Records

The forms generated through implementation of this procedure shall be prepared and submitted to the EMCBC Records Management Center in accordance with AP-17.1Q, *Quality Assurance Records*.

9.1.1 Form 6.1-1, *Document Review and Comment Record*

10.0 FORMS USED

Form 6.1-1, *Document Review and Comment Record*

11.0 ATTACHMENTS

N/A

Form 6.1-1 – Document Review and Comment Record

1. Document Number: _____ 3. Revision Number: _____
 2. Document Title: _____ 4. Draft Designator: _____

Review Information

Document Review Criteria

5. Standard Review Criteria – Specify _____
 Specific Review Criteria – Specify Source _____
 Specific Review Criteria – *Attached*

6. Document Preparer (print name): _____
 7. Review Requester (print name): _____
 8. Total Number of Reviewers: _____

9. Reviewer	10. Organization	11. Review Criteria

Conduct of Review

12. Reviewer (print name): _____ 13. Organization: _____ 14. Date: _____

Comment Resolution and Review Concurrence

15. Revision Number: _____ 16. Draft Designator: _____

17. Reviewer: _____ <div style="display: flex; justify-content: space-between; margin-top: 5px;"> Print Name Signature </div>	18. Date: _____
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Form 6.1-1 – Document Review and Comment (DRC) Record Instructions

- 1) The Review Requester identifies the unique number of the document being reviewed, if applicable (e.g., AP-16.1Q).
- 2) The Review Requester indicates the title of the document being reviewed. (e.g., *Implementing Documents*)
- 3) The Review Requester identifies the revision of the document being reviewed.
- 4) The Review Requester identifies the alpha-designator of the draft being reviewed (e.g., DRAFT A).
- 5) The Review Requester marks one of boxes for the applicable review criteria to be used for the Document Review and then completes this block in accordance with the guidance below:

For Standard Review Criteria – Specify

The Review Requester will specify the criteria to be used to conduct the Document Review by writing it in on the specify line (e.g., Standard Review Criteria, if just using the criteria within AP-6.1Q).

Specific Review Criteria – Specify Source

The Review Requester will specify another standard or document is being used for the review criteria, the Review Requester identifies the source (e.g., NQA-1-2009a, Subpart 2.14, Paragraph 800, *Documentation*).

Specific Review Criteria – Attached

The Review Requester will attach the review criteria to Form 6.1-1 – *Document Review and Comment Record*.

- 6) The Review Requester prints the name of the Document Preparer
- 7) The Review Requester prints the name of the Review Requester.
- 8) The Review Requester indicates the total number of the reviewers (e.g., 1 or 2 or 3, etc.)
- 9) The Review Requester prints the Name of the Reviewer(s).
- 10) The Review Requester identifies the Document Reviewer’s Organization.
- 11) The Review Requester states the Review Criteria to be used to conduct the review. This section can be used to separate out specific criteria in the case if more than one review is used (e.g., NQA-1 for a Document Reviewer with QA expertise, NARA for a Document Reviewer with Records expertise).
- 12) The Document Reviewer prints their name.
- 13) The Document Reviewer identifies their organization.
- 14) The Document Reviewer fills in the date that they completed their review.

- 15) The Review Requester indicates the Document Revision Number
- 16) The Review Requester specifies the alpha-designator of the draft that represents the concurrence draft
- 17) The Document Reviewer prints their Name and Signs their signature indicating their comments have been resolved and their review concurrence.
- 18) The Document Reviewer enters the date that they signed their comment resolution and review concurrence.

Form 5.1-1 – Record of Revision

DOCUMENT: AP-6.1Q, *Document Review*

Revision Number	Description of Changes	Revision on Pages	Effective Date
0	Original	All	04/27/2011
1	General Revision	All	12/14/2012